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Attorney Docket No. 0930C

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent : US 7,022,894 B2
Date of Issue : April 4, 2006
Name of Patentee : Pioneer Hi-Bred International, Inc.
Title of Invention : Methods of Transforming Plants and Identifying Parental Origin of a Chromosome in Those Plants

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

ATTENTION: Supervisory Patent Examiner, Unit 1638

PETITION FOR CORRECTION OF INVENTORSHIP OF PATENT
(37 CFR § 1.324)

1. This is a petition for correction of error in a

- ☐ misjoinder
☒ nonjoinder

of inventor(s) in the above issued patent. It is respectfully requested that the PTO issue a certificate correcting the error.

2. Enclosed herewith is (37 CFR § 1.324(b))

- A. ☐ a statement from each person to be deleted as an inventor.
☒ a statement from each person who is being added as an inventor that the inventorship error occurred without any deceptive intention on his or her part.
- B. A statement from the current named inventors who have not submitted a statement under A. above:
- ☐ agreeing to the change of inventorship

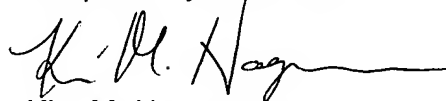
or

Patent No. US 7,022,894 B2
Attorney Docket No. 0930C
Serial No. 10/784,418

- ☒ stating that there is no disagreement in regard to the requested change.
3. If the patent is assigned, check the following:
- ☒ Also enclosed is the written consent of the assignee.
- ☒ A statement under 37 CFR § 3.73(b), establishing right of assignee to take action, is also enclosed.
4. The fee required (37 C.F.R. § 1.20(b)) is paid as follows:
- ☒ Authorization is hereby made to charge the amount of **\$130.00** to Deposit Account 16-1852.
- ☒ Charge any additional fees required by this paper or credit any overpayment to Deposit Account 16-1852.

A duplicate of this paper is attached.

Respectfully submitted,



Kim M. Hagemann
Agent for Applicant(s)
Registration No. 52,982

PIONEER HI-BRED INTERNATIONAL, INC.
Corporate Intellectual Property
7250 N.W. 62nd Avenue
P.O. Box 0552
Johnston, Iowa 50131-0552
Phone: (515) 248-4878
Facsimile: (515) 334-6883

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

18

Application Number

10/784,418

Filing Date

02/23/2004

First Named Inventor

Jerome P. Ranch

Art Unit

1638

Examiner Name

Robinson, Keith O.

Attorney Docket Number

0930C

ENCLOSURES (check all that apply)☐ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/
Incomplete Application☐ Reply to Missing Parts
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☒ Petition☐ Petition to Convert to a
Provisional Application☐ Power of Attorney, Revocation
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) _____☐ Landscape Table on CD☐ After Allowance Communication to TC☐ Appeal Communication to Board
of Appeals and Interferences☐ Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s)
(please identify below):

1) Statement of Non-Deceptive Intent

2) Statement Agreeing to Change

3) Consent of Assignee to Change

4) Statement Under 37 CFR 3.73(b)

5) Copy of Recorded Assignment

Remarks**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm

Pioneer Hi-Bred International, Inc.

Signature

Printed Name

Kim M. Hagemann

Date

September 5, 2006

Reg.
No.

52,982

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature

Typed or printed name

Kim M. Hagemann

Date

September 5, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Attorney Docket No. 0930C

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent : US 7,022,894 B2
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Title of Invention : Methods of Transforming Plants and Identifying Parental
Origin of a Chromosome in Those Plants

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING ADDED BY
PETITION TO CHANGE INVENTORSHIP IN PATENT
(37 CFR § 1.324(B)(1))**

I, the person who is being added as an inventor by the petition being submitted to correct the inventorship of this patent do hereby declare that the inventorship error in failing to include my name as an inventor on this patent occurred without any deceptive intention on my part.

Terry EuClaire Meyer

Name of inventor being added

Terry Eu Claire Meyer

Signature



Attorney Docket No. 0930C

PATENT

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Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**STATEMENT AGREEING TO CHANGE OF INVENTORSHIP IN PATENT BY
CORRECTLY NAMES INVENTORS
(37 CFR § 1.324(B)(2))**

I, an inventor signing below and

- ☒ who is being retained as an inventor
☐ who is being deleted as an inventor

in the above identified patent, make the following statement in support of the petition to correct the inventorship of this patent:

- ☐ I agree to the change of inventorship in this patent.
☒ I have no disagreement in regard to the requested change of inventorship of this patent.

Terry EuClaire Meyer
Name of inventor being added

Jerome P. Ranch
Jerome P. Ranch, Retained Inventor

Patent No. US 7,022,894 B2
Attorney Docket No. 0930C
Serial No. 10/784,418

Terry EuClaire Meyer

Name of inventor being added

Wallace A. Marsh

Wallace A. Marsh, Retained Inventor

Terry EuClaire Meyer

Name of inventor being added

Dwight T. Tomes

Dwight T. Tomes, Retained Inventor

Terry EuClaire Mayer

Name of inventor being added

Zuo-Yu Zhao

Zuo-Yu Zhao, Retained Inventor



Attorney Docket No. 0930C

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent : US 7,022,894 B2
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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**CONSENT OF ASSIGNEE TO CHANGE OF INVENTORSHIP IN PATENT
(37 CFR § 1.324(b)(3))**

PIONEER HI-BRED INTERNATIONAL, INC.,

owner by assignment of the above patent,

- ☐ in the assignment being recorded concurrently herewith,
☒ in the assignment recorded in the PTO on June 2, 2004.

Frame o542

Reel 014682

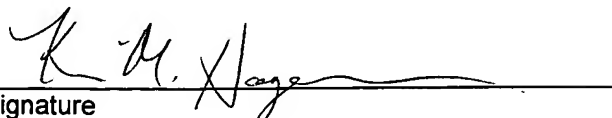
hereby consents to the amendment of the inventorship of this patent as requested

- ☒ in the accompanying papers.
☐ in the papers mailed to the PTO on

(complete the following, if applicable)

- ☒ Attached is a "STATEMENT UNDER 37 CFR 3.73(b)," establishing the right of the assignee to take action in this case.

Date: September 5, 2006


Signature

Kim M. Hagemann
(type or print name of signatory)

Patent Agent
Title of signatory signing on behalf of entity



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Pioneer Hi-Bred International, Inc.

Application No./Patent No.: US 7,022,894 B2 Filed/Issue Date: April 4, 2006

Entitled: Methods of Transforming Plants and Identifying Parental Origin of a Chromosome in Those Plants

Pioneer Hi-Bred International, Inc., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- 1. ☒ the assignee of the entire right, title, and interest; or
- 2. ☐ an assignee of less than the entire right, title, and interest

The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014682, Frame 0542, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

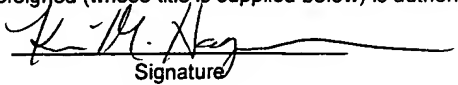
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature

September 5, 2006
Date

Kim M. Hagemann

(515) 248-4878

Printed or Typed Name

Telephone Number

Patent Agent

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



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JUN 04 2004

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JUNE 03, 2004

PTAS

PIONEER HI-BRED INTERNATIONAL INC.
KIM M. HAGEMANN
7100 NW 62ND AVENUE, P.O. BOX 1000
CORPORATE INTELLECTUAL PROPERTY
JOHNSTON, IA 50131-1000

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/02/2004

REEL/FRAME: 014682/0542
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

RANCH, JEROME P.

DOC DATE: 06/01/2004

ASSIGNOR:

MARSH, WALLACE A.

DOC DATE: 05/21/2004

ASSIGNOR:

TOMES, DWIGHT T.

DOC DATE: 05/21/2004

ASSIGNOR:

ZHAO, ZUO-YU

DOC DATE: 06/01/2004

ASSIGNEE:

PIONEER HI-BRED INTERNATIONAL,
INC.
400 LOCUST STREET
800 CAPITAL SQUARE
DES MOINES, IOWA 50309

014682/0542 PAGE 2

SERIAL NUMBER: 10784418

FILING DATE: 02/23/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: METHODS OF TRANSFORMING PLANTS AND IDENTIFYING PARENTAL ORIGIN OF A
CHROMOSOME IN THOSE PLANTS

TARA WASHINGTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

06/02/2004

798088857

Form PTO-1595

(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

PATENTS ONLY

Tab settings ⇨ ⇨ ⇨

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) Jerome P. Ranch
- 2) Wallace A. Marsh
- 3) Dwight T. Tomes
- 4) Zuo-Yu Zhao

Additional name of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Pioneer Hi-Bred International, Inc.

Internal Address: _____

Street Address: 800 Capital Square400 Locust StreetCity: Des Moines State: IA Zip: 50309Additional Name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other _____

Execution Date: 06/01/2004; 05/21/2004; 05/21/2004;
06/01/2004

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)
10/784,418

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning this document should be mailed:

Name: Kim M. HagemannInternal Address: Pioneer Hi-Bred International, Inc.Corporate Intellectual PropertyStreet Address: 7100 NW 62nd AvenueP.O. Box 1000City: Johnston State: IA Zip: 50131-10006. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

16-1852

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Kim M. Hagemann

Name of Person Signing

Signature

June 2, 2004

Date

Total number of pages including cover sheet, attachments, and documents: 6

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

CIH \$40.00 161852 10784418

ASSIGNMENT - WORLDWIDE

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, and in fulfillment of a pre-existing obligation of assignment, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, as indicated below, unto

PIONEER HI-BRED INTERNATIONAL, INC.
800 Capital Square
400 Locust Street
Des Moines, Iowa 50309

its successors and assigns, the entire right, title and interest, so far as concerns the United States and the Territories and Possessions thereof and all foreign countries in and to the invention in **"Methods of Transforming Plants and Identifying Parental Origin of a Chromosome in Those Plants"**

as set forth in this United States Patent Application

☐ executed concurrently herewith
☒ executed on June 1, 2004
☒ Serial No. 10/784,418 filed February 23, 2004

said Application including all provisional, non-provisional, divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or upon said Applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions or upon said Applications and every priority right that is or may be predicated upon or arise from said inventions, said Applications, and said Letters Patent; said Assignee being hereby authorized to file patent applications in any or all countries on any or all said inventions in the name of the undersigned or in the name of said Assignee or otherwise as said Assignee may deem advisable, under the International Convention or otherwise; the Commissioner of Patents and Trademarks of the United States of America being hereby authorized to issue or transfer all said Letters Patent to said Assignee in accordance herewith; this assignment being under covenant, not only that full power to make the same is had by the undersigned, but also that such assigned right is not encumbered by any grant, license, or other right theretofore given, and that the undersigned will do all acts reasonably serving to ensure that the said inventions, patent applications and Letters Patent shall be held and enjoyed by said Assignee as fully and entirely as the same could have been held and enjoyed by the undersigned if this assignment had not been made, and particularly to execute and deliver to said Assignee all lawful documents including petitions, specifications, oaths, assignments, invention disclaimers, and lawful affidavits in form and substance which may be requested by said Assignee, to

furnish said Assignee with all facts relating to said inventions or the history thereof and any and all documents, photographs, models, samples or other physical exhibits which may be of said inventions, and to testify in any proceedings relating to said inventions, patent applications, Letters Patent.

The undersigned hereby grant an authorized representative of Assignee the power to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

6/1/2004
Date

Jerome P. Ranch
Jerome P. Ranch

State of Iowa)
County of Polk) ss.

I certify that I know or have satisfactory evidence that Jerome P. Ranch is the person who appeared before me and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 6-1-2004



Signature of Notary Public Sharon Biller

Printed Name Sharon Biller

My appointment expires 7-19-2004

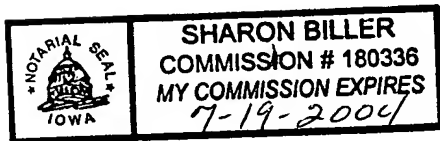
5/21/2004
Date

Wallace A. Marsh
Wallace A. Marsh

State of Iowa)
County of Polk) ss.

I certify that I know or have satisfactory evidence that Wallace A. Marsh is the person who appeared before me and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 5-21-2004



Signature of Notary Public Sharon Biller

Printed Name Sharon Biller

My appointment expires 7-19-2004

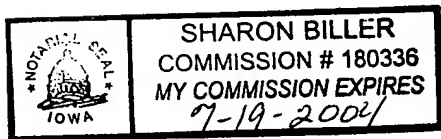
May 21, 2004
Date

Dwight T. Tomes
Dwight T. Tomes

State of Iowa)
County of Polk) ss.

I certify that I know or have satisfactory evidence that Dwight T. Tomes is the person who appeared before me and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 5-21-2004



Signature of Notary Public Sharon Biller

Printed Name Sharon Biller

My appointment expires 7-19-2004

6/1/04
Date

[Signature]
Zuo-Yu Zhao

State of Iowa)
County of Polk) ss.

I certify that I know or have satisfactory evidence that Zuo-Yu Zhao is the person who appeared before me and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 6-1-2004



Signature of Notary Public Sharon Biller

Printed Name Sharon Biller

My appointment expires 7-19-2004



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on September 5, 2006
Date


Signature

Kim M. Hagemann

Typed or printed name of person signing Certificate

52,982

Registration Number, if applicable

(515) 248-4878

Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

- 1) Transmittal Form / 1 Page (1 copy)
- 2) Petition for Correction of Inventorship of Patent / 2 Pages (2 copies)
- 3) Statement of Non-Deceptive Intent by Person Being Added by Petition / 1 Page (1 copy)
- 4) Statement Agreeing to Change of Inventorship in Patent / 2 Pages (1 copy)
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- 7) Copy of Recorded Assignment / 8 Pages (1 copy)

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.